

## **BASIC RESEARCH GRANT PROGRAM RULES**

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AWARDS LETTER

July 6, 1987

## **BASIC RESEARCH GRANT PROGRAM RULES**

### **1.0 GENERAL INFORMATION**

The Arkansas Science & Technology Authority was created by Act 859 of 1983 (Amended by Act 409 of 1985 and Act 210 of 1987) and given the mission to bring the benefits of science and advanced technology to the people and the State of Arkansas. Programs established by this statute require the Authority to adopt certain rules for carrying out its mission.

#### **1.1 PROGRAM NAME**

These rules govern the Science & Technology Authority's Basic Research Grant Program.

#### **1.2 PURPOSE**

The purpose of the Basic Research Grant Program is to promote and fund basic research at Arkansas colleges and universities.

#### **1.3 AUTHORIZATION**

The Basic Research Grant Program is authorized by Section 16(a) of Act 859 of 1983 as amended by Act 409 of 1985 and Act 210 of 1987, the same being Arkansas Statute 6-1616(a). The power to make rules governing this program is granted by Section 4 of Act 859 of 1983 as amended by Act 409 of 1985 and Act 210 of 1987, the same being Arkansas Statute 6-1604.

### **2.0 PROGRAM DESCRIPTION**

The Arkansas Science & Technology Authority supports a competitive cash-matching grant program for basic research. The goals of the basic research grant program are to promote and support the growth and development of Arkansas scientists and to enhance the status of science and technology in Arkansas colleges and universities.

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### 2.1 TYPE OF AWARD

The Board of Directors of the Science & Technology Authority awards grants to qualified applicants.

The Authority is authorized to defray up to, but not more than, sixty percent (60%) of the total cost of the basic research project being funding. The remaining forty percent (40%) of the total cost of the proposed research project must be funded by cash or in-kind services provided by the college or university proposing the research project.

### 2.2 DEFINITIONS

For the purpose of the Authority's basic research grant program, the following words and phrases have the following definitions.

- 2.2.1 "Basic research" shall mean any original investigation for the advancement of scientific or technological knowledge.
- 2.2.2 "In-kind services" shall mean scientific or technological equipment and/or supplies, release time, and indirect costs at fifty percent (50%) of the predetermined Health and Human Services rate.
- 2.2.3 "Officially submitted" shall mean a project proposal which has been submitted by an office of an Arkansas college or university that is legally empowered to accept grants on behalf of a qualified applicant.
- 2.2.4 "Qualified applicant" shall mean a designated individual associated with an Arkansas college or university.

### 3.0 ELIGIBILITY

Applicant eligibility will be determined on the basis of the following criteria:

#### 3.1 CRITERIA

- 3.1.1 The proposed project must be scientific and/or technological in nature and must promote the purpose of the Authority to provide the benefits of science and/or advanced technology to the State of Arkansas and its people.
- 3.1.2 The proposal must address an area of basic research.

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- 3.1.3 The proposal must be officially submitted by an Arkansas college or university.
- 3.1.4 The Arkansas college or university officially submitting the grant application must assure funding for not less than forty (40%) of the total cost of the proposed research by cash monies or in-kind services.
- 3.1.5 The proposals must be submitted by an announced deadline date to be considered for a given solicitation.

### 3.2 CONFLICT OF INTEREST

No Director, officer or employee of the Authority for purpose of personal gain shall have or attempt to have, directly or indirectly, any interest in any contract or agreement of the Authority in connection with the basic research program of the Authority.

It shall not be a conflict of interest for the Authority to permit any college or university with which a Director of the Authority is affiliated to participate in any program of the Authority provided that such Director shall promptly disclose the nature of the affiliation to the Board of Directors.

### 4.0 APPLICATION PROCESS

Application for a basic research grant shall be in a format prescribed by the Authority. The following information shall be included.

#### 4.1 APPLICATION

##### 4.1.1 A Project Summary and Cover Sheet which contains the following information:

- 4.1.1.1 Name of the college or university applying for basic research funds;
- 4.1.1.2 Name of the principal investigator;
- 4.1.1.3 Name and mailing address of the institutional contract officer;
- 4.1.1.4 Mailing address of the principal investigator;
- 4.1.1.5 Telephone number of the institutional contract office;

4.1.1.6 Telephone number of the principal investigator;

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- 4.1.1.7 Title of the project proposal;
- 4.1.1.8 Amount of funds requested from the Authority;
- 4.1.1.9 Technical abstract;
- 4.1.1.10 Dated signature of the institutional contracting official;
- 4.1.1.11 Signature of the principal investigator, department, and date.
- 4.1.2 A statement of the specific objectives to be attained by the proposed project.
- 4.1.3 A review of the literature pertinent to the proposed research, including an assessment of previous research efforts.
- 4.1.4 A clearly-described implementation plan for the accomplishment of the project. This should include a description of the proposed activities, including experimental design and methods, timetable, and information detailing the availability of supporting facilities, equipment, and personnel necessary to the attainment of the project's objectives.
- 4.1.5 A detailed budget for the coming year including personnel, fringe benefits, equipment, supplies, travel, indirect costs, and estimates of support requirements in future years, if any.
- 4.1.6 A statement addressing the extent to which the proposed research will establish or build upon an established institutional base of research capability.
- 4.1.7 A statement detailing the source and amount of the required matching funds.
- 4.1.8 A statement of plans for future support of the research from sources other than the Authority. This section should include identification of the specific funding sources to be approached and likely titles of the proposals to be submitted.
- 4.1.9 A description of the qualifications of the personnel to be involved in the proposed project. Relevant information would include the academic credentials of key professionals, a listing of recent publications in accepted professional journals, and the record of current and past grant support received in the area.
- 4.1.10 A statement that a final summary report will be submitted to the Authority within 60 days after expiration of the award. The final summary report shall include:





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- 4.1.10.1 A topic sentence stating the project's major thesis;
- 4.1.10.2 The primary objectives and scope of the project;
- 4.1.10.3 The techniques or approaches used only to the degree necessary for comprehension;
- 4.1.10.4 The findings and implications stated as concisely as possible.
- 4.1.11 Other information as requested by the Board of Directors.

### 4.2 PROPRIETARY INFORMATION

Proprietary information in a basic research proposal will be maintained subject to the limitations of the Freedom of Information Act.

## 5.0 EVALUATION

Applications meeting the eligibility requirements will be evaluated on the basis of the following criteria:

### 5.1 CRITERIA

- 5.1.1 The scientific merit of the proposal, including the quality and importance of the proposed research, and the suggested research procedures.
- 5.1.2 The competence of the professional personnel involved in the project as evidenced by relevant academic training, research, and publications.
- 5.1.3 The availability of administrative support and resources necessary to ensure a reasonable probability of project success.
- 5.1.4 The soundness of the implementation plan and the likelihood that the project objectives will be achieved.
- 5.1.5 The probability that the requested support will result in the permanent and significant enhancement of the institution's research capabilities.
- 5.1.6 The potential of the proposed project for attracting support from sources other than the Authority.

5.1.7 The overall probability of success of the proposed project.

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### 5.2 PROPOSAL REVIEW

- 5.2.1 Each proposal shall be initially reviewed by a member of the Authority staff to determine that eligibility requirements have been met.
- 5.2.2 The Research Committee of the Board of Directors shall be responsible for review and evaluation of each eligible proposal. The Research Committee shall select reviewers whose expertise in specific scientific/ technological areas will aid in the evaluation of each basic research proposal.
- 5.2.3 Each eligible proposal will be reviewed and evaluated in terms of the purposes of the basic research program, the evaluation criteria, and the adequacy of the requested level of funding.
- 5.2.4 The Authority will make every effort to complete the review and evaluation process within 90 days after the deadline for receipt of solicited proposals.

### 5.3 AWARDS

The final decision to commit funds to an applicant shall be made by the Board of Directors of the Authority. The decision to fund/decline will be based on information derived from the review process and its accompanying criteria and the Board's own interpretation of the accompanying information. The Board's decision shall be final.

### 6.0 AWARDS LETTER

Cash awards will be distributed by the Authority on the recommendation of the Board of Directors based on terms and conditions agreed upon by the Board of Directors of the Authority and the submitting college or university.

Basic Research Grant Program Rules

APPROVED by the Board of Directors  
on this 6th day of July, 1987.

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Joe F. Nix, Ph.D.  
Secretary, Board of Directors  
Arkansas Science & Technology Authority

FILED with the Secretary of State  
on the 17th day of July, 1987.

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William H. Bowen  
Chairman, Board of Directors  
Arkansas Science & Technology Authority